Page

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Command:	Division:	Number:
Morongo Basin	Inland	870
Evaluated by:	-:	Date:
Sergeant B. Green, #10311		01/05/2009
Assisted by:	,	Date:

applicated discrepa	INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.						
TYPE OF I	NSPECTION		Lead Inspe	ector's Signatu	ıre:		
☐ Divi	sion Level	☐ Command Level	1 .	Λ		36	
☐ Offic	ce of Inspections	⊠ Voluntary Self-Inspection	13)/	1	-		
Fo	llow-up Required:] Yes ⊠ No	☐ Follow-Up Inspection	Commande	er's Signature	:	Date:	
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.							
1.	Is management actively approving paperwork repreparing collections?	involved in reviewing and lated to receiving and	⊠ Yes	☐ No	□ N/A	Remarks:	
2.	Does the command have	ovide necessary guidelines and accountability of	☐ Yes	⊠ No	□ N/A	Remarks:All clerical requirements are followed as outlined in departmental manuals. Thus, alleviating duplication in the Area's SOP.	
3.	Does the command have duties for collections re-	e adequate separation of		□No	 □ N/A	Remarks:	
4.		e adequate separation of	⊠ Yes	□No	□ N/A	Remarks:	
5.	Is access to the safe an restricted?	d/or vault appropriately	☐ Yes	☐ No	⊠ N/A	Remarks: See narrative/exceptions document	
6.	6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access occur?		☐ Yes	☐ No	⊠ N/A	Remarks: See narrative/exceptions document	
7.				□No	⊠ N/A	Remarks: See narrative/exceptions document	
8.	Is the safe securely and	hored to the building?	☐ Yes	☐ No	⊠ N/A	Remarks: See narrative/exceptions document	
9.	Are weekly transmittal raccordance with departs		⊠ Yes	□No	□ N/A	Remarks:	
10.	Is the weekly transmitta	report(s) submitted to Fiscal MS) within five working days	⊠ Yes	□No	□ N/A	Remarks:	

INSPECTION PROGRAM

11. Does the command submit the following forms				
with the weekly transmittal when applicable?		□No	□ N/A	Remarks:
(1) CHP 265, Sale of Discarded Tires/Junk	_	_		
Batteries/Used Rotors.				
(2) CHP 36, Evidence/Property Receipt/Report				
(Unclaimed Property).				
(3) STD 634, Absence and Additional Time Worked				
Report, for jury duty.				
(4) CHP 221, Malicious Damage Report.				
(5) CHP 464, Traffic Control Cost Estimate –				
Advance Deposit.				
(6) Civil subpoena.				
12. Is a memorandum for cash shortages prepared if				Demodral
necessary?		☐ No	□ N/A	Remarks:
13. Does the command ensure the information written on			_	Ddis-
the counter receipt is complete and legible?		☐ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee				Domedia:
deposit received?		☐ No	□ N/A	Remarks:
Was a counter receipt issued for each movie,				Remarks:
wide-load, and special event detail(s)?		☐ No	□ N/A	Remarks.
Was each counter receipt issued for each sale,			_	Remarks:
including the sale of discarded tires, junk batteries,		☐ No		Remarks.
used rotors, and other cash received?				
17. Is sales tax added to items that are not for resale?				Remarks:
		☐ No	□ N/A	Incinants.
18. Are all counter receipts pre-numbered and issued in	K=1			Remarks:
numerical sequence?		☐ No	□ N/A	Terrance.
19. Were transfers of counter receipt books/certificates	N			Remarks:
between field commands reported on a CHP 266A,	⊠ Yes	☐ No	□ N/A	T.G.Ma
Credit Memo - Non- Equipment?				
20. Is the STD 439, Disbursement Voucher, properly	N V	□ N.	CT NUA	Remarks:
authorized and completed to support expenditure?		☐ No	□ N/A	
21. Are the CHP 264, Petty Cash Replenishment	M v			Remarks:
Requests, completed at least monthly if over \$10.00,	☐ Yes	☐ No	∏ N/A	
quarterly if under \$10.00, and on June 30 of each	12			
fiscal year?				
22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and	<u>∠</u> 163	140	11//	
receipts in transit equal the total of petty cash and	⊠ Yes	□No	□ N/A	Remarks:
change funds?				
24. Is there documentation to support periodic reviews of				
petty cash and change funds performed by the	⊠ Yes	☐ No	□ N/A	Remarks:
commander or designated person?				
25. Are overages and shortages of the petty cash				
funds reported to Fiscal Management Section?	⊠ Yes	☐ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY, PATROL

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Morongo Basin	Inland	4
Inspected by:		Date:
Sergeant B. Gre	01/05/2009	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.			
TYPE OF INSPECTION Division Level Command Executive Office Level Follow-up Required: Yes No Chapter Inspection: Inspector's Comments Rega	Forward to: Due Date: Irding Innovative Practice	Corrective Action Plan Included Appeal Included Attachments Included Commander's Signature:	Date:
Command Suggestions for S	Statewide Improvement:		
No suggestions for Statewide		de.	

This Chapter Inspection revealed that the Morongo Basin Area conducts and documents Fiscal Controls within policy. A physical inspection of a sample of records kept on file verified that all were within policy and contained required/relevant information.

In regards to numbers 5 through 8 on the CHP 680G, Inspections Program Inspections Checklist, the Morongo Basin Area does not utilize a safe for day to day cash transactions. The Area utilizes a locked cashbox, which is secured in a locked drawer. There is only one key to access the drawer and cashbox, which are maintained by the Office Clerk at all times.

Inspector's Findings:

Page

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:
Arrowhead Area	Inland	865
Evaluated by:	1	Date:
Lt. Sanders		01-07-2009
Assisted by:		
P. Ross OSI		01-07-2009
		(II) (I

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION				Lead Inspector's Signature:				
☐ Div	ision Level		⊠ Command Level					
☐ Offi	ce of Inspe	ctions		1				
	llow-up R] Yes	equired:	☐ Follow-Up Inspection	Commander's Signature: Date: 1-8-2009				
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.								
1.	approving preparing	paperwork re collections?	involved in reviewing and lated to receiving and	⊠ Yes	□No	□ N/A	Remarks:	
2.	Procedure for overall	s (SOP) to pro	e Standard Operating ovide necessary guidelines and accountability of collections?	⊠ Yes	☐ No	□ N/A	Remarks:	ž,
3.	3. Does the command have adequate separation of duties for collections received?			☐ Yes	⊠ No	□ N/A		nly two clerical ssigned to area.
4.		command have he cash recei	e adequate separation of ot process?	☐ Yes	□No	□ N/A	Remarks:	
5.	Is access trestricted?		d/or vault appropriately	⊠ Yes	☐ No	□ N/A	Remarks:	
6.	to the safe occur?	and/or vault a	ich identifies who has access and when changes in access	⊠ Yes	☐ No	□ N/A	Remarks:	
7.	number of combination requires ac	employees won, transferred	n changed when an excess ere aware of the I out of the Area, or no longer	☐ Yes	⊠ No	□ N/A	at change of	ombination not changed command. Area is rching for a vendor.
8.	Is the safe	securely anch	nored to the building?	☐ Yes	⊠ No	□ N/A	Remarks: Are for a vendor.	ea is currently searching
9.			ports prepared in nental policy?		□No	□ N/A	Remarks:	
10.	Manageme	ent Section (FI	report(s) submitted to Fiscal MS) within five working days ed by the report?	⊠ Yes	□No	□ N/A	Remarks:	

INSPECTION PROGRAM

	 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – Advance Deposit. Civil subpoena. 	⊠ Yes	□ No	□ N/A	Remarks:
	2. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□No	⊠ N/A	Remarks:Have not experienced.
	3. Does the command ensure the information written on the counter receipt is complete and legible?		□No	□ N/A	Remarks:
	4. Was a counter receipt issued for each witness fee deposit received?		☐ No	□ N/A	Remarks:
	Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	☐ No	□ N/A	Remarks:
	6. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	☐ No	□ N/A	Remarks:
	7. Is sales tax added to items that are not for resale?	☐ Yes	⊠ No	□ N/A	Remarks:
	8. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
	 Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment? 	☐ Yes	□ No	⊠ N/A	Remarks:
	Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□No	□ N/A	Remarks:
	 Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year? 	☐ Yes	⊠ No	□ N/A	Remarks:Correction required.
	2. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
	B. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□ No	□ N/A	Remarks:
	Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25	Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	☐ No	□ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command: Arrowhead Area	Division: Inland	Chapter: 4
Inspected by:Lt. Sar	ders	Date: 01-07-2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION	III AND					
☐ Division Level ☐ Command Level		Appeal Included				
Executive Office Level		Attachments Included				
Follow-up Required: ☑ Yes ☐ No	Forward to: Inland Division	Commander's Signature:	Date: 01-07-2009			
M res □ No	Due Date: _01-08-2009_	RL Sandur	West William I work and the T			
Chapter Inspection:						
Inspector's Comments Regar	rding Innovative Practice	es:				
None						
Command Suggestions for S	tatewide Improvement:					
None						
Inspector's Findings:			-			

Ch. 4 FISCAL CONTROLS:

Item # 3 Does the Command have adequate separation of duties for collections received. No. Area has two clerical employees (an OSI and OA). This requires the Office Supervisor who is the custodian of funds to also accept cash and issue receipts.

Item 7 & 8: The safe combination was not changed upon the transfer of Commanders in 2006. The Area is searching for a vendor to secure the safe to the floor and change the combination. This should be completed NLT 2-1-2009.

Item #20. Is the STD 439 Disbursement Voucher, properly authorized and completed to support expenditure. No STD 439 forms were completed.

Item #21: Are CHP 264 Petty Cash Replenishment requests, completed at least monthly if over \$10.00, quarterly if under \$10.00 and on June 30 of each fiscal year? No. Area has directed the Change fund custodian to suspense this item and complete it quarterly or monthly as required.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Arrowhead Area	Division: Inland	Chapter:4
Inspected by:Lt. Sar	nders	Date:1-7-2009

Page 2	19	10
Commander's Response:		
Action items will be corrected NLT 2-1-2009.		
Inspector's Comments:		

Sgt. Martin has been directed to obtain 3 bids to secure the safe and change the combo NLT 2-1-2009. Area has suspensed the CHP 264 for quarterly completion. Action items will be corrected NLT 2-1-2009.

Required Action

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:	
Inspected by:		Date:	

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
Commander a basis for Appear.	
Appeal Review/Decision: (This shall be the only level of appeal).	
Y .	
Lead Inspector's Signature:	Date: 2-8-2009
Responding Commander's Signature (for appeal):	Date:
Toponia de la compania del compania de la compania de la compania del compania de la compania del la compania del la compania de la compania de la compania de la compania de la compania del	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:
Rancho		
Cucamonga	Inland Division	
Evaluated by:		Date:
Lt. McDermott		12/01/08
Assisted by: Becky Guzman, OSS		Date: 12/01/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspe	ector's Signati	ure:		
☐ Division Level ☐ Command Level					
☐ Office of Inspections ☐ Voluntary Self-Inspection	LDI.	ma	LCC	KOER	
Follow-up Required: Yes No	Command	Commander's Signature:			Date: 12-2-08
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.		0			
 Is management actively involved in reviewing and approving paperwork related to receiving and preparing collections? 	⊠ Yes	□No	□ N/A		ot/Lt's review all d sign transmittal.
Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections?	⊠ Yes	☐ No	□ N/A	Remarks:	
3. Does the command have adequate separation of duties for collections received?	⊠ Yes	□No	□ N/A		inted daily by two clerks d by another clerk.
4. Does the command have adequate separation of duties for the cash receipt process?	⊠ Yes	□No	□ N/A	Remarks:	
5. Is access to the safe and/or vault appropriately restricted?	⊠ Yes	□No	□ N/A	Remarks: Evic backup and C	dence Officer, his ommander
6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access occur?	⊠ Yes	☐ No	□ N/A	Remarks: Me mentioned abo	mo outlining the three ove.
7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer requires access?	⊠ Yes	□No	□ N/A	Remarks: Cha turnover occur	inged whenever a rs.
8. Is the safe securely anchored to the building?	☐ Yes	⊠ No	□ N/A	Remarks: Safe	e weighs over 800 lbs.
Are weekly transmittal reports prepared in accordance with departmental policy?		□No	□ N/A	Remarks:	
10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?	⊠ Yes	□No	□ N/A	Remarks: Preperers Friday.	pared and submitted

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – Advance Deposit. Civil subpoena. 	⊠ Yes	□ No	□ N/A	Remarks: Whenever applicable.
12. Is a memorandum for cash shortages prepared if necessary?		□No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?		□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?		□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?		□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?		☐ No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?		□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	☐ No	⊠ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?		☐ No	□ N/A	Remarks: When necessary.
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?		□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks: Memos from Commander on file.
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?		□No	□ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	□Yes	⊠ No	□ N/A	Remarks: Not allowed.
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks: Locked strong box in a locked cabinet in a locked room.
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks: Memo on file.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter: 4, Fiscal
Rancho Cucamonga	Inland	Controls
Inspected by: Lt. McDermott		Date: 12/01/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. Corrective Action Plan Included TYPE OF INSPECTION ☐ Appeal Included ☐ Executive Office Level ☐ Attachments Included Date: Commander's Signature: Forward to: Follow-up Required: monthous ☐ Yes ⊠ No Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None Command Suggestions for Statewide Improvement: None

Within policy, no deficiencies.

Inspector's Findings:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

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Command: Rancho Cucamonga	Division: Inland	Chapter: 4, Fiscal Controls
Inspected by:		Date:
Lt. McDermott		12/01/08

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
Lead Inspector's Signature:	Date: 1/6/09
Responding Commander's Signature (for appeal):	Date:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: 840	Division: Inland (801)	Number:
Evaluated by: LT A. Snowden, #13187		Date: 12/15/2008
Assisted by: OSSI Maria Sandoval		Date: 12/15/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION				Lead Inspector's Signature:					
☐ Division Level ☐ Command Level		(4)							
☐ Offic	ce of Inspec	tions	☐ Voluntary Self-Inspection		-7. whole				
Fo	llow-up Re	equired: No	☐ Follow-Up Inspection	Commander's Signature: Date:				Date:	
Manua Chapte	il (SAM), H er 2.	PM 11.1, Ch	o State Administrative papter 4, and HPM 11.2,						
1.	approving preparing of	paperwork relactions?	involved in reviewing and ated to receiving and	⊠ Yes	☐ No	□ N/A	Remarks:		
2.	Does the or Procedure for overall	ommand have s (SOP) to pro	e Standard Operating ovide necessary guidelines and accountability of collections?	⊠ Yes	☐ No	□ N/A	Remarks:		
3.	Does the c	ommand have collections rec	e adequate separation of	⊠ Yes	☐ No	□ N/A	Remarks:		
4.	duties for the	ne cash receip		⊠ Yes	□No	□ N/A	Remarks:		
5.	restricted?		l/or vault appropriately		□No	□ N/A	Remarks:		
6.			ch identifies who has access and when changes in access	⊠ Yes	□No	□ N/A	Remarks:		
7.	number of	employees won, transferred	n changed when an excess ere aware of the out of the Area, or no longer	☐ Yes	□No	⊠ N/A	Remarks:		
8.	Is the safe	securely anch	nored to the building?	Yes	⊠ No	□ N/A	Remarks:		
9.	accordance	e with departn	ports prepared in nental policy?	⊠ Yes	□No	□ N/A	Remarks:		
10.	Is the week	dy transmittal ent Section (Fl	report(s) submitted to Fiscal MS) within five working days	⊠ Yes	□ No	□ N/A	Remarks:		

INSPECTION PROGRAM

⊠ Yes	□ No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	☐ No	□ N/A	Remarks:
	☐ No	□ N/A	Remarks:
Yes	☐ No	□ N/A	Remarks:
⊠ Yes	☐ No	□ N/A	Remarks:
⊠ Yes	☐ No	□ N/A	Remarks:
⊠ Yes	, □ No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	☐ No	□ N/A	Remarks:
⊠ Yes	□ No	□ N/A	Remarks:
	□No	□ N/A	Remarks:
			Yes No N/A Yes No N/A

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command: Division:		Chapter: 4
Riverside Inland (801)		
Inspected by:		Date:
LT A. Snowde	en, #13187	12/15/2008

number of the inspection in the Chapter shall be routed to and its due date. The	er Inspection number. Under "Fo iis document shall be utilized to c	oxes as necessary, or fill in the blanks as indicated ward to:" enter the next level of command when document innovative practices, suggestions for some used to appeal findings. A CHP 51 Memoran	re the document statewide				
TYPE OF INSPECTION ☐ Division Level ☐ Command L ☐ Executive Office Level Follow-up Required: ☐ Yes ☐ No	_evel Forward to: Due Date:	☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included Commander's Signature: ☐ Date: ☐ 12/24/38					
Chapter Inspection: Inspector's Comments Regarding Innovative Practices: N/A							
Command Suggestions for S N/A	tatewide Improvement:						
Inepector's Findings:							

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command: Riverside	Division: Inland (801)	Chapter: 4
Inspected by: LT A. Snowd	en, #13187	Date: 12/15/2008

Commander's Response:

The Area Commander, T. M. McCreary, #11882, will continue to be diligent in ensuring the mandates set forth in departmental policy and the Area SOP regarding management and accountability of receiving and processing collections are followed.

Inspector's Comments:

Area was found to be in compliance and functioning properly. All monies were accounted for and properly secured. The Office Supervisor was well versed regarding departmental policy and procedures relating to petty cash, counter receipts, etc.

Required Action

Corrective Action Plan/Timeline

OSS1 Maria Sandoval, #A11648, completed a memo to the Area to update the current memo on file to include OA S. Rogers, #A12883, as a person with authorization to the safe on December 22, 2008.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Pa	age	3

Command: Division:		Chapter: 4			
Riverside	Inland (801)				
Inspected by:		Date:			
LT A. Snowde	12/15/2008				

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
Lead Inspector's Signature:	Date:
A. SACOMAN / Me Com	12/15/20
Responding Commander's Signature (for appeal):	Date:

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:				
Barstow	Inland					
Evaluated by:		Date:				
Lieutenant Je	effrey Klug	12-09-08				
Assisted by:		Date:				
Rosanna Laf	ler	12-09-08				

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspe	ector's Signatu	ıre:	1	
☐ Division Level ☐ Command Level	1	Children Allel			
☐ Office of Inspections ☐ Voluntary Self-Inspection		July 1000			
Follow-up Required: Yes No	Command	er's Signature	Uu	M MM 12-16-08	
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.		VV			
 Is management actively involved in reviewing and approving paperwork related to receiving and preparing collections? 		□No	□ N/A	Remarks:	
 Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? 	☐ Yes	⊠ No	□ N/A	Remarks:Barstow Area has developed a SOP governing the control of all change funds, petty cash and collections.	
3. Does the command have adequate separation of duties for collections received?		☐ No	□ N/A	Remarks:	
4. Does the command have adequate separation of duties for the cash receipt process?		□No	□ N/A	Remarks:	
5. Is access to the safe and/or vault appropriately restricted?	⊠ Yes	□No	□ N/A	Remarks:	
6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access occur?		☐ No	□ N/A	Remarks:	
7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer requires access?	Yes	□ No	⊠ N/A	Remarks: No combination lock is used.	
Is the safe securely anchored to the building?	☐ Yes	□No	⊠ N/A	Remarks: Barstow does not have a safe for change funds, petty cash and collections.	
Are weekly transmittal reports prepared in accordance with departmental policy?	⊠ Yes	□No	□ N/A	Remarks:	
10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?	⊠ Yes	☐ No	□ N/A	Remarks:	

INSPECTION PROGRAM

1	 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate — Advance Deposit. Civil subpoena. 	⊠ Yes	□ No	□ N/A	Remarks:
	2. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks:
	3. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
	Was a counter receipt issued for each witness fee deposit received?		□No	□ N/A	Remarks:
15	5. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
	6. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	☐ No	□ N/A	Remarks:
	'. Is sales tax added to items that are not for resale?	⊠ Yes	☐ No	□ N/A	Remarks:
18	B. Are all counter receipts pre-numbered and issued in numerical sequence?		☐ No	□ N/A	Remarks:
19	Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□No	□ N/A	Remarks:
20	Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□No	□ N/A	Remarks:
21	. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10,00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22	. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
	Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
	. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25	. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	П No	□ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks: Barstow change fund does is under \$100,00 and petty cash is less than \$200.00.
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Barstow Area	Division Inland:	Chapter:
Inspected by:		Date:
Lieutenant Jeffrey Klug		12-09-08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION ☐ Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included Executive Office Level Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: ☐ Yes ⊠ No Due Date: Chapter Inspection: Chapter \$\frac{4}{3}\$, Command Fiscal Controls Inspector's Comments Regarding Innovative Practices: Command Suggestions for Statewide Improvement:

- 2. Barstow Area has developed a SOP governing the control of all change funds, petty cash and collections.
- 7. Barstow Area does not have a safe for change funds, petty cash, and collections.
- 27. Barstow change fund is under \$100.00 and petty cash is less than \$200.00.

Inspector's Findings:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Lead Inspector's Signature:	Date: 12 - 9.08
Responding Confinancier's Signature (for appeal):	Date:

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Page

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Division: Inland	Number: 834
Evaluated by:	
en	
Assisted by:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy; applicable legal statues; or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspe	ector's Signatu	ıre:			
☐ Division Level X Command Level	Thamas					
☐ Office of Inspections ☐ Voluntary Self-Inspection	1110	4mm				
Follow-up Required: Yes X No					Date: 01/05/2009	
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.						
 Is management actively involved in reviewing and approving paperwork related to receiving and preparing collections? 	X Yes	□No	□ N/A	Remarks:		
Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections?	X Yes	☐ No	□ N/A		his procedure is listed in ription of the Office	
3. Does the command have adequate separation of duties for collections received?	X Yes	□No	□ N/A	Remarks:		
4. Does the command have adequate separation of duties for the cash receipt process?	X Yes	☐ No	□ N/A	Remarks:		
5. Is access to the safe and/or vault appropriately restricted?	☐ Yes	□No	X N/A	for the collec	rea does пot use a safe tion fund or petty cash. used which is locked in et.	
6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access occur?	☐ Yes	X No	□ N/A	Remarks:		
7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer requires access?	☐ Yes	☐ No	X N/A	access to the	nly three people have e funds. No change in as occurred in the past 5	
8. Is the safe securely anchored to the building?	☐ Yes	□No	X N/A	Remarks:		
Are weekly transmittal reports prepared in accordance with departmental policy?	X Yes	□No	□ N/A	Remarks:		
10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?	X Yes	□ No	□ N/A	Remarks:		

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2 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – 	X Yes	□No	□ N/A	Remarks:
Advance Deposit. (6) Civil subpoena.				
12. Is a memorandum for cash shortages prepared if necessary?	X Yes	☐ No	□ N/A	Remarks: Only one shortage has occurred in the past 4 ½ years. A ten dollar money order was lost when mailed to Sacramento. The proper paperwork was completed.
13. Does the command ensure the information written on the counter receipt is complete and legible?	X Yes	□No	□ N/A	Remarks: This is verified during quarterly audits.
14. Was a counter receipt issued for each witness fee deposit received?	X Yes	☐ No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	X Yes	☐ No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	X Yes	☐ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	☐ No	X N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	X Yes	☐ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	☐ No	X N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	X Yes	☐ No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	X Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	X Yes	☐ No	□ N/A	Remarks: The CHP 264 is signed by the Area Commander.
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	X Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	X Yes	□No	□ N/A	Remarks: Quarterly audits are completed by the Area Commander for the petty cash and change funds.
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐Yes	□No	X N/A	Remarks: None have occurred.

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	X No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	□No	X N/A	Remarks: No overages have occurred. All monies are always secured in a lock box within a locked filing cabinet.
28. Are all petty cash purchases under \$50?	X Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	X No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	X No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	X Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division: Inland	Chapter: 4
Needles		
Inspected by:		Date:
Lt. J. P. Rasmussen		01/05/2009

number of the inspection in the Chapte shall be routed to and its due date. The	er Inspection number. Under "Fo is document shall be utilized to o	oxes as necessary, or fill in the blanks as indicat orward to:" enter the next level of command whe document innovative practices, suggestions for one used to appeal findings. A CHP 51 Memorar	re the document statewide
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level X Command Le	evel	☐ Appeal Included	
Executive Office Level		☐ Attachments Included	
Follow-up Required:	Forward to: Inland Division	Commander's Signature:	Date: 01/05/2009
☐ Yes X No	Due Date: 12/31/2008	Thamus 27	
Chapter Inspection: Chapter	4 Fiscal Controls		
Inspector's Comments Regar	rding Innovative Practice	es:	
N/A			
Command Suggestions for S	tatewide Improvement:		
N/A			
Inspector's Findings:			

The Collection Fund and Petty Cash program is well organized and maintained. Quarterly audits have been completed for both programs and a memorandum documenting the audits is on file. No discrepancies were found. The Area Commander has completed the audits for the past year.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command: Needles	Division: Inland	Chapter: 4
Inspected by: Lt. J. P. Rasm	ussen	Date: 01/05/2009

Page 2

Commander's Response:		

Both Office Assistants have a thorough working knowledge of the Collection Fund and Petty Cash program and can competently supervise both programs.

Inspector's Comments:			
Inspeciors Comments.			

N/A

Required Action None	
Corrective Action Plan/Timeline	

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page	3
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Command:	Division: Inland	Chapter: 4
Needles		
Inspected by:		Date: 01/05/2009
Lt. J. P. Rasmussen		

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
e e	
Appeal Review/Decision: (This shall be the only level of appeal).	
N/A	
Lead Inspector's Signature:	Date:
(1) amil	01/05/2009
Responding Commander's Signature (for appeal):	Date:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Mojave	Division: Inland	Chapter:
Inspected by:		Date:
W. Fullmer		12-11-2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.				
TYPE OF INSPECTION		Corrective Action Plan Included		
☐ Division Level ☒ Command Level		Appeal Included		
Executive Office Level		Attachments Included		
Follow-up Required:	Forward to:	Commander's Signature:	Date:	
☐ Yes ⊠ No	Inland Division_ Due Date: 12-31-08	JE Jano	12-12-8	
Chapter Inspection: Inspector's Comments Regarding Innovative Practices:				
None.				
Command Suggestions for Statewide Improvement:				
None.				
Inspector's Findings:				

The general files are kept in a neat, well organized manner. All of the file cabinets are lockable and in a secure area of the office. All of the forms and documents to be inspected were able to be located and identified easily. All of the required time frames on documents were met. The Area SOP had been updated recently. The Area SOP has guidelines for the overall management and accountability of receiving and preparing collections. The safe is in a secure location and is too large to move without the assistance of a dolly or forklift. The combination was changed on September 22, 2008, due a change in office personnel as required by policy.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 2

Command: Moiave	Division: Inland	Chapter:
Inspected by: W. Fullmer		Date: 12-11-2008

Commander's	Response:
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I concur. OSS I Palmer is responsible for the majority of items in this inspection and is doing an excellent job...as always.

Inspector's Comments:

None.

Required Action

Corrective Action Plan/Timeline

None.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Mojave	Division: Inland	Chapter:	
Inspected by: W. Fullmer		Date: 12-11-2008	

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
	ĸ
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number;
Mojave	Inland	9830
Evaluated by: Sergeant W.	Fullmer	Date: 12-01-2008
Assisted by:		Date:
OSSI S. Palmer		12-01-2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level GAT 13809 ☐ Division Level □ Voluntary Self-Inspection ☐ Office of Inspections Follow-up Required: 12-11-8 Follow-Up Inspection ⊠ No ☐ Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: □ N/A approving paperwork related to receiving and □ No preparing collections? Does the command have Standard Operating Remarks: Yes, Area SOP was □ N/A ⊠ Yes □No Procedures (SOP) to provide necessary guidelines updated 11-2008 for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: □ No □ N/A Yes duties for collections received? 4. Does the command have adequate separation of Remarks: □ N/A ✓ Yes ☐ No duties for the cash receipt process? Is access to the safe and/or vault appropriately Remarks: X Yes ☐ No □ N/A restricted? Does a record exists which identifies who has access Remarks: Area SOP ☐ No □ N/A ✓ Yes to the safe and/or vault and when changes in access occur? Was the lock combination changed when an excess Remarks: Combination was last □ N/A □ No number of employees were aware of the Yes changed on September 22, 2008. combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: Safe is too large to move. ☐ No □ N/A 9. Are weekly transmittal reports prepared in Remarks: □ N/A X Yes ☐ No accordance with departmental policy? 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: ☐ No □ N/A ✓ Yes Management Section (FMS) within five working days following the week covered by the report?

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – Advance Deposit. Civil subpoena. 	⊠ Yes	□No	□ N/A	Remarks: Attached to originals and kept in Area general files.
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks: No shortages.
13. Does the command ensure the information written on the counter receipt is complete and legible?		□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks: Copies kept in general files.
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	☐ No	□ N/A	Remarks: Copies kept in general files.
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□No	□ N/A	Remarks: No sales, recently.
17. Is sales tax added to items that are not for resale?	⊠ Yes	☐ No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	☐ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	☐ No	□ N/A	Remarks: When required.
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks: Every two months and on June 30 each year.
22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/Ą	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	☐ No	□ N/A	Remarks: Audits are conducted quarterly, last audit completed on October 24, 2008.
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks: Signed by sergeant.
25. Are overages and shortages of the petty cash	⊠ Yes	П№	□ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks: Change fund amount is \$50, petty cash is \$200 both are kept in locked cash boxes in a locked drawer.
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

Page

1 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Bishop	Division:l INLAND		Number:
Evaluated by: Sergeant Biehl #10839		Date: 12-02-2008	
Assisted by:	11-11-	12	Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

			-tl- O:t-			
TYPE OF INSPECTION			ctor's Signatu	ire:		
☐ Division Level ☐ Command Level		Bu & Bull				
☐ Office of Inspections ☐ Voluntary Sel	f-Inspection	100				
Follow-up Required: Yes No	Inspection	Commander's Signature: Date: 13/3/08			Date: 13/08	
For applicable policies, refer to State Administration Manual (SAM), HPM 11.1, Chapter 4, and HP Chapter 2.	PM 11.2,					
1. Is management actively involved in review approving paperwork related to receiving a preparing collections?		⊠ Yes	□No	□ N/A	Remarks;	
2. Does the command have Standard Operal Procedures (SOP) to provide necessary general management and accountability receiving and preparing collections?	uidelines / of	☐ Yes	⊠ No	□ N/A	Remarks:	
3. Does the command have adequate separa duties for collections received?	ation of	⊠ Yes	☐ No	□ N/A	Remarks:	
Does the command have adequate separation of duties for the cash receipt process?		⊠ Yes	☐ No	□ N/A	Remarks:	
5. Is access to the safe and/or vault appropri restricted?		⊠ Yes	□No	□ N/A	Remarks:	
6. Does a record exists which identifies who to the safe and/or vault and when changes occur?		⊠ Yes	□No	□ N/A	Remarks:	
7. Was the lock combination changed when a number of employees were aware of the combination, transferred out of the Area, or requires access?		⊠ Yes	□No	□ N/A	Remarks:	
8. Is the safe securely anchored to the building	ng?	☐ Yes	⊠ No	□ N/A	Remarks:	
Are weekly transmittal reports prepared in accordance with departmental policy?		⊠ Yes	☐ No	□ N/A	Remarks:	
10. Is the weekly transmittal report(s) submitte Management Section (FMS) within five wo following the week covered by the report?		⊠ Yes	□No	□ N/A	Remarks:	

INSPECTION PROGRAM

0.9					
	11. Does the command submit the following forms with the weekly transmittal when applicable?(1) CHP 265, Sale of Discarded Tires/Junk	⊠ Yes	□No	□ N/A	Remarks:
	Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).				
	(3) STD 634, Absence and Additional Time Worked Report, for jury duty.				74
	(4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate –				
	Advance Deposit. (6) Civil subpoena.				
ŀ	12. Is a memorandum for cash shortages prepared if				
	necessary?	⊠ Yes	□No	□ N/A	Remarks:
	13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
	14. Was a counter receipt issued for each witness fee deposit received?		□No	□ N/A	Remarks:
	15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
ľ	 Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, 	⊠ Yes	□No	□ N/A	Remarks:
	used rotors, and other cash received?	□ Tes			
	17. Is sales tax added to items that are not for resale?	⊠ Yes	□No	□ N/A	Remarks:
	18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
	19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	☐ No	□ N/A	Remarks:
	20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□No	□ N/A	Remarks:
	 Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, 	⊠ Yes	□No	□ N/A	Remarks:
	quarterly if under \$10.00, and on June 30 of each fiscal year?			=1	÷
	22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
	23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
	24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks: Area supervisors conduct quarterly audits of the petty cash and change funds.
	25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	П No	∏ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:I	Chapter
Bishop	Inland	4
Inspected by: Sergeant Bie	hl	Date: 1-06-2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.					
TYPE OF INSPECTION					
☐ Division Level ☐ Command Level		☐ Corrective Action Plan Included			
Executive Office Level		☐ Appeal Included			
		☐ Attachments Included			
Follow-up Required:	Forward to: Division	Commander's Signature:	Date:		
	22	2 105/1000	1/2/09		
Myaa DNa	Due Date: <u>3.31-09</u>	Capt & Spranen	7 2767		
⊠ Yes □ No			O AMAN SER TO L. EXPLORATES		
Chapter Inspection: Fiscal Co	ontrols				
Inspector's Comments Rega	rding Innovative Practice		3. 18 19 19 19 19 19 19 19 19 19 19 19 19 19		
mapector's Comments Regar	ruing innovative i ractice	· · · · · · · · · · · · · · · · · · ·			
Inspector at this time has not	identified any practices	that need to be changed or altered.			
		· ·			
		4			
Command Suggestions for Statewide Improvement:					
Command recommends the continued close monitoring of fiscal accountabilities.					

Inspector's Findings:

Bishop Area is actively involved in reviewing and approving paperwork related to receiving and preparing collections. Area follows policy and procedures when preparing transmittal reports. Transmittal reports are prepared and submitted within five working days in accordance with Departmental policy. Area supervisors conduct quarterly audits of the petty cash and change funds. The supervisors document these audits.

An inspection of the Area safe revealed the safe was not anchored to the building as required.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command: Bishop	Division:I Inland	Chapter: 4
Inspected by:		Date:
Sergeant Biehl		01-07-2009

Page 2

Commander	's Res	ponse:
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Commander assumes fiscal responsibility for the Bishop Command and ensures all policies and procedures are adhered to.

Inspector's Comments:

Management monitors area's fiscal controls closely. Required documentation, reports, and audits are completed as required by Departmental policy. Area's procedures are within policy and are strictly adhered to.

Required Action

Corrective Action Plan/Timeline

Area should contact facilities and make arrangements for the safe to be secured to the building as required. Area should make arrangements by the end of the first quarter of 2009 to make this required change.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division: Inland	Chapter: 4
Bishop		
Inspected by:	-	Date:
Sergeant Biehl		01-07-2009

Page 3

	PAYED BY (AN
Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).	AT A PARK
Commander's Basis for Appeal:	

Appeal Review/Decision: (This shall be the only level of appeal).

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Lead Inspector's Signature:	Date: ~ 7 09
Responding Commander's Signature (for appeal):	Date:

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Bridgeport	Division:	Number:
Evaluated by: Greatchen Mor	Date: 11/22/08	
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF	INSPECTION		Lead Insp	ector's Signat	:ure:			
☐ Div	vision Level	X Command Level	aw	Montar	maru	V		
Off	ice of Inspections	☐ Voluntary Self-Inspection	1	10		1		
	ollow-up Required: ☐ Yes	☐ Follow-Up Inspection	Come	ler's Signatu	de		Date: 11 25	80
Manu Chapt	al (SAM), HPM 11.1, ter 2.	er to State Administrative Chapter 4, and HPM 11.2,				1		
1.	approving paperwork preparing collections		⊠ Yes	□No	□ N/A	Remarks:		
2.	Procedures (SOP) to for overall managemereceiving and prepari	ave Standard Operating provide necessary guidelines ent and accountability of ng collections?	☐ Yes	⊠No	□ N/A	Remarks:		
3.	duties for collections		¥ Yes	□No	□ N/A	Remarks:		
Does the command have adequate separation of duties for the cash receipt process?		⊠Yes	☐ No	│ │	Remarks:			
5.	restricted?	and/or vault appropriately		□No	□ N/A	Remarks:		
6.	to the safe and/or vau occur?	which identifies who has access llt and when changes in access	⊠ Yes	☐ No	□ N/A	Remarks:		
7.	number of employees combination, transfer requires access?	red out of the Area, or no longer	☐ Yes	⊠ No	□ N/A	Remarks:		
8.		nchored to the building?	☐ Yes	⊠No	□ N/A	Remarks:		
9.	Are weekly transmittal accordance with depa	rtmental policy?	⊠Yes	□No	□ N/A	Remarks:		
10.		tal report(s) submitted to Fiscal (FMS) within five working days vered by the report?	⊠ Yes	☐ No	□ N/A	Remarks:		

INSPECTION PROGRAM

11.	 Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). (3) STD 634, Absence and Additional Time Worked Report, for jury duty. (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit. (6) Civil subpoena. 	☐ Yes	□ No	⊠ N/A	Remarks:
12.	Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□No	⊠ N/A	Remarks:
	Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
14.	Was a counter receipt issued for each witness fee deposit received?	∑ Yes	☐ No	□ N/A	Remarks:
	Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	Yes	☐ No	□ N/A	Remarks:
16.	Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□ No	⊠.N/A	Remarks:
17.	Is sales tax added to items that are not for resale?	⊠ Yes	☐ No	□ N/A	Remarks:
	Are all counter receipts pre-numbered and issued in numerical sequence?	Yes	☐ No	□ N/A	Remarks:
	Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠Yes	☐ No	□ N/A	Remarks:
20.	Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠Yes	☐ No	□ N/A	Remarks:
21.	Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	Yes	□No	□ N/A	Remarks:
22.	Is the CHP 264 properly authorized?	`⊠ Yes	□No	□ N/A	Remarks:
23.	Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	ĭ⊠Yes	□No	□ N/A	Remarks:
24.	Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	Yes	☐ No	□ N/A	Remarks:
25.	Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	☐ No	⊠ N/A	Remarks:

INSPECTION PROGRAM

maximum in

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	X Yes	☐ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Bridgeport	Inland	4; Fiscal Control
Inspected by:		Date:
G. Montgomery		11/22/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level ☐ Attachments Included Forward to: Commander's Signature: Date: Follow-up Required: Inland Division F-1/10 | Yes Due Date: 12/31/2008 1-6-09 Chapter Inspection: Chapter 4; Fiscal Controls Inspector's Comments Regarding Innovative Practices:

None

Command Suggestions for Statewide Improvement:

The Weekly Transmittal for the Bridgeport Area is often under \$50.00, and many times is \$0.00. The Transmittal should only need to be done monthly if the combined weekly total is less than \$200.00, the same amount kept for Petty Cash. This would save time and expenses.

For example: the total amount of funds sent to Headquarters on the weekly transmittals was \$54.00 for the month of December 2008. Had this been done at the end of the month, clerical time to complete the transmittal and the funds to mail a transmittal with a \$0.00 balance would be reduced.

Inspector's Findings:	

Petty Cash is kept in a safe which is kept inside of a locked file cabinet. The key to the safe and the file cabinet is restricted to authorized personnel only.

Petty Cash replenishment requests are done on a monthly basis although the amount is often under \$10.00.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command: Bridgeport	Division: Inland	Chapter: 4; Fiscal Control
Inspected by: G. Montgome	ry	Date: 11/22/2008

Commander's F	Response:
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The CHP 264 Petty Cash replenishment request need only be done on a quarterly basis if the amount is under \$10.00. This change will save the Department resources when it comes to processing the documentation.

Inspector's Comments:			
(40 NOVO VASSOCII	 	 	

None

Required Action: The process for the completion of the CHP 264 has been changed to ensure the Petty Cash reimbursement is requested quarterly when the amount is less than \$10.00.

Corrective Action Plan/Timeline:

The change was implemented immediately and is now in effect.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:
Bridgeport	Inland	4: Fiscal Control
Inspected by:		Date:
G. Montgome	ry	11/22/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
DNA	
Appeal Review/Decision: (This shall be the only level of appeal).	
DNA	
20	
Lead Inspector's Signature:	
	Date:
DE Kine	Date: 11/22/08
CF H	Date: Date:

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Inland Comm.	Division: Inland	Number:
Evaluated by PSDSII Nancy Lauber		Date: April 30, 2009
Assisted by OT Suzie Shaff		Date: April 30, 2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	OF INSPECTION		Lead Insp	ector's Signat	ure:		
	ivision Level	○ Command Level	$\bigcap_{\mathcal{C}}$		2-1	.	
	ffice of Inspections	☐ Voluntary Self-Inspection		, کر	Max	,	
	follow-up Required: Yes No	☐ Follow-Up Inspection	Command	er's Signature	?		5-7-09
Mant Chap	oter 2.	hapter 4, and HPM 11.2,					×
1,	Is management actively approving paperwork re preparing collections?	involved in reviewing and lated to receiving and	☐ Yes	☐ No	⊠ N/A		and Communications does not receive
2.	Procedures (SOP) to pro for overall management receiving and preparing	ovide necessary guidelines and accountability of collections?	☐ Yes	□ No	⊠ N/A	Remarks:	
3.	duties for collections rec	eived?	☐ Yes	☐ No	⊠ N/A	Remarks:	
4.	Does the command have duties for the cash receip		⊠ Yes	□ No	□ N/A	Remarks: Ap Records fees	plies to Custodian of
5.	Is access to the safe and restricted?	l/or vault appropriately	☐ Yes	☐ No	⊠ N/A	Remarks: IC0	C does not have a safe
6.		ch identifies who has access nd when changes in access	☐ Yes	□No	⊠ N/A	Remarks:	
7.	number of employees we	n changed when an excess ere aware of the out of the Area, or no longer	☐ Yes	□No	⊠ N/A	Remarks:	
8.	Is the safe securely anch	ored to the building?	☐ Yes	☐ No	⊠ N/A	Remarks	
9.	Are weekly transmittal repactordance with departm		⊠ Yes	□No	□ N/A	Remarks:	
10		eport(s) submitted to Fiscal (IS) within five working days and by the report?	⊠ Yes	□No	□ N/A	Remarks	

INSPECTION PROGRAM

The state of the s				
 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – Advance Deposit. Civil subpoena. 	⊠ Yes	□ No	□ N/A	Remarks ICC submits STD634 and Civil subpoena forms with the weekly transmittal. No other identified forms are used at ICC.
12. Is a memorandum for cash shortages prepared if necessary?		☐ No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?		□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?		□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	☐ No	⊠ N/A	Remarks.
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□No	□ N/A	Remarks: Receipts are issued for money collected for Custodian of Records requests.
17. Is sales tax added to items that are not for resale?	☐ Yes	□No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	☐ No	□ N/A	Remarks.
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	☐ No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	☐ No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	☐ Yes	⊠ No	□ N/A	Remarks. Receipt dated 10/18/08 for \$8.59 was not processed. Correction made; 264 proces sed and submitted on 04/30/09.
22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□ No	□ N/A	Remarks
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	☐ Yes	⊠ No	□ N/A	Remarks Petty cash has not been audited since 12/06/07 Audit done on 04/30/09 by PSDSII Lauber, and will be audited quarterly in the future.
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks: ICC has not experienced an overage or shortage, but will report it if one is identified.

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	□No	⊠ N/A	Remarks: ICC does not utilize a change fund.
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	□No	⊠ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29 Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks: OT Suzie Shaffer.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:

Inspected by:

Inland Comm

PSDSII Nancy Lauber

Division: Inland Chapter: 3

Date: 4/30/09

Page 1 of 2

INSTRUCTIONS: This document shall be number of the inspection in the Chapter shall be routed to and its due date. This improvement, identified deficiencies, con	Inspecti docume	on number. Under "Forw ent shall be utilized to doc	ard to:" enter the nex sument innovative pra	actices, suggestions for statewide
TYPE OF INSPECTION ☐ Division Level ☐ Command L ☐ Executive Office Level	.evel	Total hours expended inspection:	d on the	☐ Corrective Action Plan Included ☐ Attachments Included
Follow-up Required:	Forwa	rd to:		
☐ Yes	Due D	ate:		
Chapter Inspection:				EUR BURGER STEEL
有效。该规则引起设计人,你必须不会。现代	ding l	an evetive Practices	第一次,其实是一个工程,	
Inspector's Comments Regar	aing ii	movative Practices		
None				
Command Suggestions for S	atewic	de Improvement:		
None		а		
Inspector's Findings:				
ICC is in compliance with Depo conducting periodic reviews of and will continue to be conduc	petty	ntal policies and pro cash funds. This h	ocedures set for as been correc	rth for Fiscal Controls, except for ted and periodic reviews are now
Commander's Response:	Concu	ır or □ Do Not Con	CUT (Do Not Cond	cur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 2 of 2

Command:	Division:	Chapter:	
Inland Comm	Inland	3	
Inspected by:		Date:	
PSDSII Nancy	Lauber	4/30/09	

Required Action	
表表表现的 \$P\$ (2017年) (1918年) 1918年 (1918年) 1918年 (1918年) 1918年 (1918年) 1918年 (1918年) 1918年 (1918年) 1918年 (1918年)	41
Corrective Action Plan/Timeline	

Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE	6.18-89
(OSOTH III OTT, OTTO, OT	INSPECTOR'S SIGNATURE	DATE ,
☐ Reviewer discussed this report with employee ☐ Concur ☐ Do not concur	REVIEWER 3 19 WURE	G/23/09

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number: 805
Special Services	Inland	
Evaluated by:		Date:
Lieutenant Oscar Medellin		January 6, 2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ☐ Division Level ☐ Voluntary Self-Inspection ☐ Office of Inspections Commander's Signature: Follow-up Required: ☐ Follow-Up Inspection (1/12/09 ⊠ No Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: ☐ Yes N/A □ No approving paperwork related to receiving and preparing collections? Does the command have Standard Operating Remarks: Procedures (SOP) to provide necessary guidelines ☐ Yes ☐ No ⊠ N/A for overall management and accountability of receiving and preparing collections? Does the command have adequate separation of Remarks: ☐ Yes □ No N/A duties for collections received? 4. Does the command have adequate separation of Remarks: ☐ Yes □ No ⊠ N/A duties for the cash receipt process? Is access to the safe and/or vault appropriately Remarks: ⊠ N/A restricted? ☐ Yes ☐ No Does a record exists which identifies who has access Remarks: ⊠ N/A to the safe and/or vault and when changes in access ☐ Yes ☐ No occur? Was the lock combination changed when an excess Remarks: ☐ Yes ⊠ N/A □ No number of employees were aware of the combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: Yes ☐ No ⊠ N/A Are weekly transmittal reports prepared in Remarks: ☐ No ⋈ N/A accordance with departmental policy? Yes 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: Management Section (FMS) within five working days ☐ Yes □ No ⊠ N/A

following the week covered by the report?

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk 	Yes	□No	⊠ N/A	Remarks:
Batteries/Used Rotors.				
(2) CHP 36, Evidence/Property Receipt/Report				
(Unclaimed Property).				
(3) STD 634, Absence and Additional Time Worked				
Report, for jury duty.				
(4) CHP 221, Malicious Damage Report.				
(5) CHP 464, Traffic Control Cost Estimate –				
Advance Deposit.				
(6) Civil subpoena.				
12. Is a memorandum for cash shortages prepared if				Domesto
necessary?	☐ Yes	☐ No	⊠ N/A	Remarks:
13. Does the command ensure the information written on			_	Describer
the counter receipt is complete and legible?	☐ Yes	☐ No	⊠ N/A	Remarks:
14. Was a counter receipt issued for each witness fee				Remarks:
deposit received?	☐ Yes	☐ No	⊠ N/A	Remarks.
15. Was a counter receipt issued for each movie,				Remarks:
wide-load, and special event detail(s)?	☐ Yes	☐ No	⊠ N/A	Tomarks.
16. Was each counter receipt issued for each sale,			N NI/A	Remarks:
including the sale of discarded tires, junk batteries,	☐ Yes	☐ No	⊠ N/A	. tomano
used rotors, and other cash received? 17. Is sales tax added to items that are not for resale?				
17. Is sales tax added to items that are not for resale?	☐ Yes	□No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in			ZIVA	
numerical sequence?	☐ Yes	□No	⊠ N/A	Remarks:
19. Were transfers of counter receipt books/certificates			2314//	
between field commands reported on a CHP 266A,	☐ Yes	□No	⊠ N/A	Remarks:
Credit Memo - Non- Equipment?				
20. Is the STD 439, Disbursement Voucher, properly				
authorized and completed to support expenditure?	☐ Yes	□No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment				
Requests, completed at least monthly if over \$10.00,	☐ Yes	☐ No	⊠ N/A	Remarks:
quarterly if under \$10.00, and on June 30 of each				
fiscal year?				
22. Is the CHP 264 properly authorized?	_		_	Danada
	☐ Yes	☐ No	⊠ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and				Remarks:
receipts in transit equal the total of petty cash and	☐ Yes	☐ No	⊠ N/A	Remarks.
change funds?				
24. Is there documentation to support periodic reviews of			N NIA	Remarks:
petty cash and change funds performed by the	☐ Yes	□No	⊠ N/A	
commander or designated person? 25. Are overages and shortages of the petty cash				
funds reported to Fiscal Management Section?	☐Yes	☐ No	⊠ N/A	Remarks:
rands reported to i isodi Management Section?	162	L INO		

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	□No	⊠ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	Yes	☐ No	⊠ N/A	Remarks:
28. Are all petty cash purchases under \$50?	☐ Yes	□No	⊠ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	□No	⊠ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	□No	⊠ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	☐ Yes	□No	⊠ N/A	Remarks:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command: Special Services	Division: Inland	Chapter: 4
Inspected by: Lieutenant Oscar I	Medellin	Date: January 6, 2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.					
TYPE OF INSPECTION		Corrective Action Plan Included			
☐ Division Level ☒ Command L	Level	Appeal Included			
☐ Executive Office Level		Attachments Included			
Follow-up Required:	Forward to: Inland Division	Commander's Signature: Date:			
☐ Yes	Due Date: 12/31/2008	Sel the CART 1/12/09			
Chapter Inspection: 4					
Inspector's Comments Regar	rding Innovative Practice	s:			
None Suggestions for St					
Command Suggestions for S	tatewide improvement:				
Inspector's Findings:					

Inland Division Special Services does not conduct the sale of items, the collection and security of cash, or the weekly transmittal as required in HPM 11.1, Chapter 4 and HPM 11.2, Chapter 2.

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 2

Command: Special Services	Division: Inland	Chapter: 4
Inspected by:		Date:
Lieutenant Oscar Medellin		January 6, 2009

Commander's Response:
Inspector's Comments:
Inland Division's clerical support staff conducts all processes related to change funds, petty cash,
miscellaneous sales or transactions of collections.

Required Action

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

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Command:	Division:	Chapter:		
Inspected by:		Date:		

Page 3	
Appeal Process: (Appeals shall be filed within five (5) busin	
	ess days of the completed chapter inspection).
Commander's Basis for Appeal:	
	8
Appeal Review/Decision: (This shall be the only level of ap	peal).
Lead Inspectors Signature:	Date:
Cade Inspector's Signature:	1/6/09

Date:

Responding Commander's Signature (for appeal):

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:	
Inland Division	Inland		
Evaluated by:	aluated by:		
Sergeant Ron Seldon		1-6-09	
Assisted by:	ed by:		
Vonna Broughton		1-6-09	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspe	ector's Signatu	ire:	
☑ Division Level ☐ Command Level	6	$\overline{}$	//	
☐ Office of Inspections ☐ Voluntary Self-Inspection	V	de	14	12
Follow-up Required: Yes No Follow-Up Inspection	Commando	er's Signature	:	Date: ////05
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.		w		
 Is management actively involved in reviewing and approving paperwork related to receiving and preparing collections? 	⊠ Yes	□No	□ N/A	Remarks:
 Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? 	⊠ Yes	□No	□ N/A	Remarks:
3. Does the command have adequate separation of duties for collections received?	⊠ Yes	□No	□ N/A	Remarks:
4. Does the command have adequate separation of duties for the cash receipt process?	☐ Yes	□ No	⊠ N/A	Remarks: Cash is not accepted for purchases
5. Is access to the safe and/or vault appropriately restricted?	⊠ Yes	□No	□ N/A	Remarks:
6. Does a record exists which identifies who has access to the safe and/or vault and when changes in access occur?		□No	□ N/A	Remarks:
7. Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longe requires access?	r Yes	⊠ No	□ N/A	Remarks:
8. Is the safe securely anchored to the building?	☐ Yes	□ No	⊠ N/A	Remarks: Inland Division does not have a safe.
9. Are weekly transmittal reports prepared in accordance with departmental policy?	⊠ Yes	□No	□ N/A	Remarks:
10. Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?		□ No	□ N/A	Remarks:

INSPECTION PROGRAM

 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – Advance Deposit. Civil subpoena. 	⊠ Yes	□No	□ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□ No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	⊠ No	□ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□ No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	☐ Yes	⊠ No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	По	□ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	☐ No	⊠ N/A	Remarks: Currency is not accepted
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	□ No	⊠ N/A	Remarks: There is only \$75 kept in the petty cash lock box.
28. Are all petty cash purchases under \$50?	⊠ Yes	☐ No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Inland Division	Inland	Four
Inspected by:		Date:
Sergeant Ron Seldon		1-6-09

number of the inspection in the Ch shall be routed to and its due date	napter Inspection number. Under . This document shall be utilize	ate boxes as necessary, or fill in the blanks as er "Forward to:" enter the next level of commar ed to document innovative practices, suggestio may be used to appeal findings. A CHP 51 M	nd where the document ons for statewide	
TYPE OF INSPECTION		☐ Corrective Action Plan Included	I	
☑ Division Level ☐ Command Level		Appeal Included		
☐ Executive Office Level		Attachments Included		
Follow-up Required:	Forward to:	Commander's Signature:	Date:	
☐ Yes	Due Date:	- Pul	- 1/14/05	
Chapter Inspection:				
Inspector's Comments Re	egarding Innovative Pra	ctices:		
N/A				
-				
Command Suggestions fo	or Statewide Improveme	ent:		
N/A				

Inspector's Findings:

- 1. There are no cash exchanges for collections that occur at Inland Division.
- 2. The amount of only \$75 is maintained in the petty cash lock box.

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command: Inland Division	Division: Division	Chapter: Four	
Inspected by: Sergeant Ron S	Seldon	Date: 1-6-09	

Commander's Response:	
•	
Inspector's Comments:	

- 1. No actual list exists which identifies personnel with access to the lock box for checks and receipts. Certain personnel have access to the lock box and this information is included in the actual job description of the employee.
- 2. Inland Division will create documentation to support reviews of the petty cash funds by the commander or supervision.

Required Action

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	
INCAND DIVISION	INLAND	4	
Inspected by:		Date: /	Ī
R. SELDON # 14785		1/6/09	

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Appeal Process:	(Appeals shall be filed within five (5) business days of the completed chapter inspection).
Commander's Ba	sis for Appeal:

Appeal Review/Decision: (This shall be the only level of appeal).

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Lead Inspector's Signature:	Date: 1/6/09
Responding Commander's Signature (for appeal):	Date: